

State of Hawaii
Department of Public Safety
Hawaii Paroling Authority

Request for Proposals

PSD 09-HPA-45

May 15, 2009

***MULTIPLE SUBSTANCE ABUSE
TREATMENT SERVICES FOR MALE
AND FEMALE PAROLEES ON
HAWAII***

Note: If this RFP was downloaded from the State Procurement Office RFP Website each applicant must provide contact information to the RFP contact person for this RFP to be notified of any changes. For your convenience, an [RFP Interest form](#) may be downloaded to your computer, completed and e-mailed or mailed to the RFP contact person. The State shall not be responsible for any missing addenda, attachments or other information regarding the RFP if a proposal is submitted from an incomplete RFP.

March 15, 2009

REQUEST FOR PROPOSALS

MULTIPLE SUBSTANCE ABUSE TREATMENT SERVICES FOR MALE AND FEMALE PAROLEES ON HAWAII RFP No. 09-HPA-45

The Department of Public Safety, Hawaii Paroling Authority, is requesting proposals from qualified applicants to provide multiple substance abuse treatment services for male and female parolees on the island of Hawaii. The contract term will be for an initial twelve month period with the option to extend the contract for not more than two additional twelve month periods or portions thereof, subject to the availability of funds, satisfactory prior performance and prior written mutual agreement in writing. Multiple contracts may be awarded under this request for proposals.

Proposals must be postmarked by the **US mail** before midnight on June 12, 2009, or hand delivered by 4:30PM, Hawaii Standard Time (HST), at the drop-off sites that are designated on the Proposal Mail-in and Deliver Information Sheet.

Proposals postmarked after midnight on June 12, 2009, or hand delivered after 4:30PM H.S.T. on June 12, 2009 will not be considered and will be late returned to the applicant. There are no exceptions to this requirement.

The Hawaii Paroling Authority will conduct an orientation on **May 28, 2009 from 10:00 a.m. to 11:00 a.m., HST, at THE HAWAII COMMUNITY CORRECTIONAL CENTER—STAFF ROOM, 60 PUNAHELE STREET, HILO, HAWAII 96720 and 919 Ala Moana Blvd, Room 400, Honolulu, Hawaii 96814.** All prospective applicants are encouraged to attend the orientation.

The deadline for submission of written questions is 4:30 p.m., HST, on June 1, 2009. All written questions will receive a written response from the State on or about June 3, 2009.

Inquiries regarding this RFP should be in writing and directed to the RFP contact person, Mr. Marc Yamamoto at PSD, PPB-PC, 919 Ala Moana Boulevard, Room 413, Honolulu, Hawaii 96814.

PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

ONE ORIGINAL AND THREE (3) COPIES OF THE PROPOSAL ARE REQUIRED

**ALL MAIL-INS MUST BE POSTMARKED BY UNITED STATES POSTAL SERVICE (USPS)
NO LATER THAN
June 12, 2009**

All Mail-ins

Department of Public Safety
Administrative Services Office – Purchasing
and Contracts
919 Ala Moana Blvd., Room 413
Honolulu, Hawaii 96814

RFP COORDINATOR

Marc Yamamoto
For further info. or inquiries

Phone: 587-1215
Fax: 587-1244

**ALL HAND DELIVERIES WILL BE ACCEPTED AT THE FOLLOWING SITES UNTIL 4:30
P.M., Hawaii Standard Time (HST) June 12, 2009.**

BE ADVISED: All mail-ins postmarked by USPS after **12:00 midnight, June 12, 2009**, will be rejected.

Hand deliveries will **not** be accepted after **4:30 p.m., HST, June 12, 2009.**

Deliveries by private mail services such as FEDEX shall be considered hand deliveries and will not be accepted if received after **4:30 p.m., HST, June 12, 2009.**

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Section 1

Administrative Overview

Section 1

Administrative Overview

I. Authority

This RFP is issued under the provisions of the Hawaii Revised Statutes (HRS), Chapter 103F and its administrative rules. All prospective applicants are charged with presumptive knowledge of all requirements of the cited authorities. Submission of a valid executed proposal by any prospective applicant shall constitute admission of such knowledge on the part of such prospective applicant.

II. RFP Organization

This RFP is organized into five sections:

Section 1, Administrative Overview--Provides applicants with an overview of the procurement process.

Section 2, Service Specifications--Provides applicants with a general description of the tasks to be performed, delineates applicant responsibilities, and defines deliverables (as applicable).

Section 3, Proposal Application Instructions--Describes the required format and content for the proposal application.

Section 4, Proposal Evaluation--Describes how proposals will be evaluated by the state purchasing agency.

Section 5, Attachments --Provides applicants with information and forms necessary to complete the application.

III. Contracting Office

The Contracting Office is responsible for overseeing the contract(s) resulting from this RFP, including system operations, fiscal agent operations, and monitoring and assessing provider performance. The Contracting Office is:

State of Hawaii

Department of Public Safety

Hawaii Paroling Authority

Attn: Mr. Michael D. Knott

1177 Alakea Street, 1st Floor, Honolulu, HI 96813

Phone (808) 587-1299 Fax: (808) 587-1314

IV. Procurement Timetable

Note that the procurement timetable represents the State's best-estimated schedule. Contract start dates may be subject to the issuance of a notice to proceed.

Activity	Scheduled Date
Public notice announcing RFP	<u>05/15/2009</u>
Distribution of RFP	<u>05/15/2009</u>
RFP orientation session	<u>5/28/09</u>
Closing date for submission of written questions for written responses	<u>6/01/09</u>
State purchasing agency's response to applicants' written questions	<u>6/03/09</u>
Discussions with applicant prior to proposal submittal deadline (optional)	<u>N/A</u>
Proposal submittal deadline	<u>6/12/09</u>
Discussions with applicant after proposal submittal deadline (optional)	<u>N/A</u>
Final revised proposals (optional)	<u>N/A</u>
Proposal evaluation period	<u>6/15/09 to 6/17/09</u>
Provider selection	<u>6/18/09</u>
Notice of statement of findings and decision	<u>6/19/09</u>
Contract start date	<u>7/1/09</u>

V. Orientation

An orientation for applicants in reference to the request for proposals will be held as follows:

Date: May 28, 2009 **Time:** 10:00 am to 11:00 pm
Location: HAWAII COMMUNITY CORRECTIONAL CENTER—STAFF ROOM
60 PUNAHELE STREET
HILO, HAWAII 96720
and
919 Ala Moana Blvd, Room 400
Honolulu, Hawaii 96814.
Phone No 808-933-8840

Registration - Offerors shall register with the HCCC Warden's office, telephone (808) 933-0428, facsimile (808) 933-0425 by Tuesday, 3:30 p.m. (H.S.T.), May 19, 2009.

The following information shall be provided:

1. Company Name
2. Attendee's full name.
3. Attendee's Social Security Number. Social security numbers shall be held strictly confidential and shall be used only for the purposes of obtaining security clearance
4. Attendee's Date of Birth.

No registration is required to attend the meeting at the Honolulu office.

Applicants are encouraged to submit written questions prior to the orientation. Impromptu questions will be permitted at the orientation and spontaneous answers provided at the state purchasing agency's discretion. However, answers provided at the orientation are only intended as general direction and may not represent the state purchasing agency's position. Formal official responses will be provided in writing. To ensure a written response, any oral questions should be submitted in writing following the close of the orientation, but no later than the submittal deadline for written questions indicated in the next paragraph (VI. Submission of Questions).

VI. Submission of Questions

Applicants may submit questions to the RFP Contact Person identified in Section 2 of this RFP. All written questions will receive a written response from the state purchasing agency.

Deadline for submission of written questions:

Date: JUNE 1, 2009 **Time:** 4:30 p.m. HST

State agency responses to applicant written questions will be provided by:

Date: June 3, 2009

VII. Submission of Proposals

A. **Forms/Formats** - Forms, with the exception of program specific requirements, may be found on the State Procurement Office website at: www.spo.hawaii.gov, click *Procurement of Health and Human Services and For Private Providers*. Refer to the Proposal Application Checklist for the location of program specific forms.

1. **Proposal Application Identification (Form SPO-H-200)** - Provides identification of the proposal.
2. **Proposal Application Checklist** – Provides applicants with information on where to obtain the required forms; information on program specific requirements; which forms are required and the order in which all components should be assembled and submitted to the state purchasing agency.
3. **Table of Contents** - A sample table of contents for proposals is located in Section 5, Attachments. This is a sample and meant as a guide. The table of contents may vary depending on the RFP.
4. **Proposal Application (Form SPO-H-200A)** - Applicant shall submit comprehensive narratives that addresses all of the issues contained in the Proposal Application Instructions, including a cost proposal/budget if required. (Refer to Section 3 of this RFP.)

5. **Registration Form (SPO-H-100A)** – If applicant is not registered with the State Procurement Office (business status), this form must be submitted with the application. If applicant is unsure as to their registration status, they may check the State Procurement Office website at: <http://www.spo.hawaii.gov>, click *Procurement of Health and Human Services*, and *For Private Providers and Provider Lists...The List of Registered Private Providers for Use with the Competitive Method of Procurement* or call the State Procurement Office at (808) 587-4706.
6. **Tax Clearance** – A certified copy of a current valid tax clearance certificate issued by the State of Hawaii, Department of Taxation (DOTAX) and the Internal Revenue Service (IRS) will be required either at the time of proposal submittal or upon notice of award at the discretion of the purchasing agency.

Refer to Section 4, item III.A.1, Administrative Requirements, and the Proposal Application Checklist to see if the tax clearance is required at time of proposal submittal. The tax clearance application may be obtained from the Department of Taxation website at www.hawaii.gov/tax/tax.html.

- B. **Program Specific Requirements** - Additional program specific requirements are included in Sections 2 and/or 3, Service Specifications and the Proposal Application Instructions, as applicable. If Federal and/or State certifications are required, they are listed on the Proposal Application Checklist.
- C. **Multiple or Alternate Proposals** - Multiple or alternate proposals shall not be accepted unless specifically provided for in Section 2 of this RFP. In the event alternate proposals are not accepted and an applicant submits alternate proposals, but clearly indicates a primary proposal, it shall be considered for award as though it were the only proposal submitted by the applicant.
- D. **Proposal Submittal** - Proposals must be postmarked by USPS or hand delivered by the date and time designated on the Proposal Mail-In and Delivery Information Sheet attached to this RFP. Any proposal post-marked or received after the designated date and time shall be rejected. Note that postmarks must be by United States Postal Service or they will be considered hand-delivered and shall be rejected if late. The number of copies required is located on the Proposal Mail-In and Delivery Information Sheet.
- E. **Wages and Labor Law Compliance** - Before a provider enters into a service contract in excess of \$25,000, the provider shall certify that it complies with section 103-55, HRS, Wages, hours, and working conditions of employees of contractors performing services. Section

103-55, HRS may be obtained from the Hawaii State Legislature website at <http://www.capitol.hawaii.gov/>. Or go directly to: http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103/HRS_0103-0055.htm

- F. Confidential Information** – If an applicant believes any portion of a proposal contains information that should be withheld as confidential, the applicant shall request in writing nondisclosure of designated proprietary data to be confidential and provide justification to support confidentiality. Such data shall accompany the proposal, be clearly marked, and shall be readily separable from the proposal to facilitate eventual public inspection of the non-confidential sections of the proposal.

Note that price is not considered confidential and will not be withheld.

VIII. Discussions with Applicants

- A. Prior to Submittal Deadline.** Discussions may be conducted with potential applicants to promote understanding of the purchasing agency's requirements.
- B. After Proposal Submittal Deadline -** Discussions may be conducted with applicants whose proposals are determined to be reasonably susceptible of being selected for award, but proposals may be accepted without discussions, in accordance section 3-143-403, HAR.

IX. Opening of Proposals

Upon receipt of proposal by a state purchasing agency at a designated location, proposals, modifications to proposals, and withdrawals of proposals shall be date-stamped, and when possible, time-stamped. All documents so received shall be held in a secure place by the state purchasing agency and not examined for evaluation purposes until the submittal deadline.

Procurement files shall be open to public inspection after a contract has been awarded and executed by all parties.

X. Additional Materials and Documentation

Upon request from the state purchasing agency, each applicant shall submit any additional materials and documentation reasonably required by the state purchasing agency in its evaluation of the proposals.

XI. RFP Amendments

The State reserves the right to amend this RFP at any time prior to the closing date for the final revised proposals.

XII. Final Revised Proposals

The applicant's final revised proposal, *as applicable* to this RFP, must be postmarked or hand delivered by the date and time specified by the state purchasing agency. Any final revised proposal post-marked or received after the designated date and time shall be rejected. If a final revised proposal is not submitted, the previous submittal shall be construed as their best and final offer/proposal. *The applicant shall submit ~~only~~ the section(s) of the proposal that are amended, along with the Proposal Application Identification Form (SPO-H-200).* After final revised proposals are received, final evaluations will be conducted for an award.

XIII. Cancellation of Request for Proposal

The request for proposal may be canceled and any or all proposals may be rejected in whole or in part, when it is determined to be in the best interests of the State.

XIV. Costs for Proposal Preparation

Any costs incurred by applicants in preparing or submitting a proposal are the applicants' sole responsibility.

XV. Provider Participation in Planning

Provider participation in a state purchasing agency's efforts to plan for or to purchase health and human services prior to the state purchasing agency's release of a request for proposals, including the sharing of information on community needs, best practices, and providers' resources, shall not disqualify providers from submitting proposals if conducted in accordance with sections 3-142-202, 3-142-203 and 3-143-618 of the Hawaii Administrative Rules for Chapter 103F, HRS.

XVI. Rejection of Proposals

The State reserves the right to consider as acceptable only those proposals submitted in accordance with all requirements set forth in this RFP and which demonstrate an understanding of the problems involved and comply with the service specifications. Any proposal offering any other set of terms and conditions contradictory to those included in this RFP may be rejected without further notice.

A proposal may be automatically rejected for any one or more of the following reasons: (Relevant sections of the Hawaii Administrative Rules for Chapter 103F, HRS, are parenthesized)

- (1) Rejection for failure to cooperate or deal in good faith. (Section 3-141-201, HAR)
- (2) Rejection for inadequate accounting system. (Section 3-141-202, HAR)
- (3) Late proposals (Section 3-143-603, HAR)
- (4) Inadequate response to request for proposals (Section 3-143-609, HAR)
- (5) Proposal not responsive (Section 3-143-610 (1), HAR)
- (6) Applicant not responsible (Section 3-143-610 (2), HAR)

XVII. Notice of Award

A statement of findings and decision shall be provided to all applicants by mail upon completion of the evaluation of competitive purchase of service proposals.

Any agreement arising out of this solicitation is subject to the approval of the Department of the Attorney General as to form, and to all further approvals, including the approval of the Governor, required by statute, regulation, rule, order or other directive.

No work is to be undertaken by the awardee prior to the contract commencement date. The State of Hawaii is not liable for any costs incurred prior to the official starting date.

XVIII. Protests

Any applicant may file a protest against the awarding of the contract. The Notice of Protest form, SPO-H-801, is available on the SPO website (see the Proposal Application Checklist in Section 5 of this RFP. Only the following matters may be protested:

- (1) A state purchasing agency's failure to follow procedures established by Chapter 103F of the Hawaii Revised Statutes;
- (2) A state purchasing agency's failure to follow any rule established by Chapter 103F of the Hawaii Revised Statutes; and
- (3) A state purchasing agency's failure to follow any procedure, requirement, or evaluation criterion in a request for proposals issued by the state purchasing agency.

The Notice of Protest shall be mailed by USPS or hand delivered to the head of the state purchasing agency conducting the protested procurement and the procurement officer who is conducting the procurement (as indicated below)

within five working days of the postmark of the Notice of Findings and Decision sent to the protestor. Delivery services other than USPS shall be considered hand deliveries and considered submitted on the date of actual receipt by the state purchasing agency.

Head of State Purchasing Agency	Procurement Officer
Name: Clayton A. Frank	Name: Clifford N. Asato
Title: Director	Title: Acting Business Management Officer
Mailing Address: 919 Ala Moana Blvd., Room 400, Honolulu, HI 96814	Mailing Address: 919 Ala Moana Blvd., Room 413, Honolulu, HI 96814
Business Address: same	Business Address: same

XIX. Availability of Funds

The award of a contract and any allowed renewal or extension thereof, is subject to allotments made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, HRS, and subject to the availability of State and/or Federal funds.

XX. Monitoring and Evaluation

The criteria by which the performance of the contract will be monitored and evaluated are:

- (1) Performance/Outcome Measures
- (2) Output Measures
- (3) Quality of Care/Quality of Services
- (4) Financial Management
- (5) Administrative Requirements

XXI. General and Special Conditions of Contract

The general conditions that will be imposed contractually are on the SPO website. (See Section 5, Proposal Application Checklist for the address). Special conditions may also be imposed contractually by the state purchasing agency, as deemed necessary.

XXII. Liability Insurance

The Contractor shall maintain insurance acceptable to the State in full force and effect throughout the term of this contract. The policy or policies of insurance maintained by the Contractor shall provide the following limit(s) and coverage:

<u>Coverage</u>	<u>Limits</u>
Commercial General Liability (occurrence form)	\$2,000,000 combined single limit per occurrence for bodily injury and property damage
Automobile, if applicable	Bodily injury \$2,000,000/person \$2,000,000/occurrence Property damage \$1,000,000/accident
Professional Liability, if applicable	\$2,000,000/claim \$2,000,000 annual aggregate

Each insurance policy required by this contract shall contain the following clauses:

1. *"The insurance shall not be canceled, limited in scope of coverage or non-renewed until after 30 days written notice has been given to the State of Hawaii, Department of Public Safety, PPB Office, 919 Ala Moana Boulevard, Room 413, Honolulu, Hawaii 96814."*
2. *"The State of Hawaii, Department of Public Safety, is added as an additional insured as respects to operations performed for the State of Hawaii."*
3. *"It is agreed that any insurance maintained by the State of Hawaii will apply in excess of, and not contribute with, insurance provided by this policy."*

Each insurance policy shall be written by insurance companies licensed to do business in the State or meet Section 431:8-301, HRS, if utilizing an insurance company not licensed by the State of Hawaii.

The Contractor agrees to deposit with the State of Hawaii, on or before the effective date of this contract, certificate(s) of insurance necessary to satisfy the State that the insurance provisions of this contract have been complied with and to keep such insurance in effect and the certificate(s) therefore on deposit with the State during the entire term of this contract. Upon request by the State, Contractor shall furnish a copy of the policy or policies.

Failure of the Contractor to provide and keep in force such insurance shall be regarded as material default under this contract, entitling the State to exercise any or all of the remedies provided in this contract for a default of the Contractor.

The procuring of such required policy or policies of insurance shall not be construed to limit Contractor's liability hereunder nor to fulfill the indemnification provisions and requirements of this contract. Notwithstanding said policy or policies of insurance, Contractor shall be obliged for the full and total amount of any damage, injury, or loss caused by negligence or neglect connected with this contract.

If the Contractor is authorized by the Department Coordinator to subcontract, subcontractor(s) is not excused from the indemnification and/or insurance provisions of this contract. In order to indemnify the State, the Contractor agrees to require its subcontractor(s) to obtain insurance in accordance with the insurance provisions of this contract.

XXIII. Cost Principles

In order to promote uniform purchasing practices among state purchasing agencies procuring health and human services under Chapter 103F, HRS, state purchasing agencies will utilize standard cost principles outlined in Form SPO-H-201 which is available on the SPO website (see section 5, the Proposal Application Checklist). Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.

Section 2

Service Specifications

Section 2

Service Specifications

I. Introduction

A. Overview, purpose or need

Drug abuse is a serious problem in the State of Hawaii, and current policies and practices in the criminal justice system have not adequately addressed the issue. Within Hawaii's criminal justice system, there is a major shift in philosophy on how to deal with the needs of drug offenders by requiring nonviolent drug possession offenders to participate in community-based supervision and treatment.

The research in the area of substance abuse demonstrates the destructive impact of alcohol and other substance abuse on personal health and health care costs, the spread of communicable disease, educational performance and attainment, work force participation, safety and productivity in the workplace, and financial stability. These indicators of social erosion are in turn, related to crime in many obvious ways, but are hard to measure. Given the recognized relationship between crime and substance abuse and addiction, it is necessary and appropriate to use, adapt, and expand the resources and remedies available within the criminal justice system to address the problem of substance abuse dependency, and thereby to help reduce the demand for illicit drugs and the incidence of drug-related crimes.

Studies reveal that a large percentage of persons who are arrested for both drug and non-drug offenses (such as thefts, burglaries, robberies, assaults, rapes, and homicides) test positive for recent drug use. Adults who are under the influence of a controlled substance or alcohol commit many offenses to raise revenues to support their habits. Some mind and mood altering drugs induce criminal and often-violent behavior, reducing the person's inhibitions as well as the person's ability to anticipate future consequences, thereby undermining the deterrent thrust of the criminal law.

Finally, some crimes, including crimes of violence, are committed in the normal course of conducting illicit drug businesses and enterprises. These include strong-arm robberies and "rip-offs," violent retaliations for these offenses, and efforts to protect markets and "turf" by means of intimidation and terrorism directed against "would be" competitors and drug purchasers who patronize competing drug distributors.

Most addicted offenders who are convicted of serious crimes and who are sentenced to terms of imprisonment will eventually be released back into the community either on parole or at the expiration of their sentences. Without proper treatment, an offender is at risk to continue to be drug dependent and to commit new offenses, resulting in further injury to victims, loss of property,

and the expenditure of limited resources to identify, apprehend, prosecute, and return the offender to confinement.

The Hawaii Paroling Authority is responsible for supervising a parole population of more than 2,300. During fiscal year 2004-2005, there were three hundred eighty three (383) parole violation hearings statewide. Of these 383 hearings, about eighty five (85) percent of the violations, were for drug related reasons. On the island of Hawaii, about seventy (70) percent of the violations were for drug related reasons.

The State of Hawaii has incorporated a continuum of “best practice-evidence based” services as opposed to the reliance on a single program intervention. The designed continuum of care service delivery system comprises of substance abuse education programming for the low-risk offender, standard and intensive outpatient programming for the medium-to-low-risk offender and day treatment, short-term and long-term residential treatment for high risk offenders. This service delivery continuum is based on the assessment and matching process that is critical in the effort to maximize positive client outcomes and the effective use of funding, time and resources.

The Hawaii Paroling Authority believes that based upon all of the available research, if a parolee’s substance abuse problem is left untreated, their likelihood for succeeding on parole is severely diminished. By treating this significant criminogenic need, the parolees’ ability to conform to the terms and conditions of his/her parole will be greatly enhanced.

A continuum of gender appropriate multi-disciplinary treatment services for male and female parolees is critical in providing a smooth transition from incarceration to parole. This continuum of gender appropriate services shall include (but not be limited to) Assessment, Intensive Outpatient, Outpatient, and Aftercare. This continuum of treatment services will permit the service provider to match the parolee with the appropriate level of treatment, depending on the extent of the substance abuse problem.

B. Description of the goals of the service

The goal of the program is to prevent re-incarceration, by providing parolees with histories of substance abuse, the skills to assist them in remaining drug and alcohol free. The applicant shall develop an individualized treatment plan for each male and female parolee and link the offenders with the appropriate treatment services in the community.

C. Description of the target population to be served

The target population consists of male and female parolees who have a problem with substance abuse. All referrals must come from the Hawaii Paroling Authority. All clients shall have been assessed by the Hawaii Paroling Authority as being at medium-to-high risk for recidivism, due to the presence of substance dependence, and shall meet the **DSM-IV** criteria for substance abuse dependence. All clients in any level of treatment shall meet the most current version of the **American Society for Addiction Medicine**

Patient Placement Criteria, Second Edition Revised (ASAM PPC-2R) for admission, continuance, and discharge.

D. Geographic Coverage of Service

Services shall be provided to male and female parolees on the island of Hawaii referred by the Hawaii Paroling Authority.

E. Probable funding amounts, source, and period of availability

Funding for the Multiple Substance Abuse Treatment Services for Male and Female Parolees on Hawaii is estimated at \$87,000 for the period commencing on the date indicated on the Notice to Proceed for a period of 12 months. This contract may be extended for not more than two additional twelve month periods or portions thereof, subject to the availability of funds, satisfactory prior performance and upon mutual agreement in writing.

II. General Requirements

A. Specific qualifications or requirements, including but not limited to licensure or accreditation

1. The applicant shall have licenses and certificates, as applicable, in accordance with federal, state and county regulations, and comply with all applicable **Hawaii Administrative Rules (HAR)**.
 - (a) All applicants shall comply with **Title 11, Chapter 175, Mental Health and Substance Abuse System**.
 - (b) All applicants shall complete and submit the Drug Free Workplace Assurance and the Federal certifications in Section 5 Attachment D.
2. If the applicant is awarded a contract, the applicant will be required to arrange for a financial and compliance audit to be done and submitted to the department as directed in accordance with **Government OMB Circular A-133** if the applicant expends \$500,000 or more in Federal Funds in a year.
3. The applicant shall comply with the Chapter 103F, HRS, **Cost Principles for Purchases of Health and Human Services** identified in SPO-H-201 (Effective 10/1/98), which can be found on the SPO Website (see Section 5, POS Proposal Checklist, for the website address).
4. The applicant receiving advanced payment for services shall reconcile the amount of the advance by the end of the first quarter of the contract.
5. After contract execution, the applicant shall submit a copy of its operating policies and procedures to the department when requested. The copy is to be provided at the applicant's expense.
6. The applicant shall assign staff to attend provider meetings as scheduled

by the department.

7. All substance abuse records shall be kept confidential pursuant to **42 Code of Federal Regulations (42CFR), Part 2, Confidentiality of Alcohol and Drug Abuse Patient Records** and if necessary, the applicant shall resist in judicial proceedings, any efforts to obtain access to patient records, except as permitted by such regulations, and **Section 334-5, HRS, Confidentiality of Records**.
8. The applicant shall adopt and implement a policy regarding Acquired Immune Deficiency Syndrome (AIDS), which states that it:
 - (a) Does not discriminate against any client who has tested positive for antibodies against Human Immunodeficiency Virus (HIV) at admission or throughout participation
 - (b) Assures staff education on HIV and AIDS at least once per year
 - (c) Provides AIDS education to all clients
 - (d) Maintains the confidentiality of any results of HIV antibody testing pursuant to **Sec. 325-101, HRS**
 - (e) Administers an AIDS Risk Assessment as part of the treatment psycho/social evaluation and encourages high-risk clients to have a blood test for HIV antibodies.
9. The applicant shall adopt a policy regarding tuberculosis (TB) which states it provides for TB education as appropriate.
10. The applicant shall develop and maintain fiscal, statistical, and administrative records pertaining to services as specified by the department.
11. The applicant shall incorporate best practices/evidence-based practices in any substance abuse service. Best practices/evidence-based practices are defined as a body of contemporaneous empirical research findings that produce the most efficacious outcomes for persons with substance abuse problems, has literature to support the practices, is supported by national consensus, has a system for implementing and maintaining program integrity, and conformance to professional standards. For best practices in specific areas of substance abuse, the applicant may consult the **Substance Abuse and Mental Health Services Administration (SAMHSA) Treatment Improvement Protocol Series (TIPS)**, the **National Institute on Drug Abuse's (NIDA) Principles of Drug Addiction Treatment**, and/or access website resources listed in Attachment E-7, "Important Website Addresses."
12. The applicant shall have a mechanism for receiving, documenting, and responding to consumer grievances, including an appeals process.

13. The applicant shall have a written plan for disaster preparedness.
14. The applicant must have by-laws or policies that describe the manner in which business is conducted and policies that relate to nepotism and management of potential conflict of interest situations.
15. The applicant shall have a minimum of one (1) year experience in the provision of substance abuse treatment services for substance abuse clients plus a minimum of one (1) additional year of successful experience in the provision of substance abuse treatment services for the parole population.
16. The applicant shall be required to accept parolees who have been assessed by the department as being appropriate for services, unless the applicant presents to the department, justifiable reason(s) that a parolee should not be accepted into the program.

B. Secondary purchaser participation

(Refer to §3-143-608, HAR)

1. The Hawaii Paroling Authority does not plan to have any secondary purchasers in conjunction with this RFP.
2. The Hawaii Paroling Authority will allow after-the-fact secondary purchases.

C. Multiple or alternate proposals

(Refer to §3-143-605, HAR)

☐ Allowed ☒ Unallowed

D. Single or multiple contracts to be awarded

(Refer to §3-143-206, HAR)

☐ Single ☐ Multiple ☒ Single & Multiple

Multiple awards shall be determined by the provider(s) scoring the highest evaluation score; the number of clients (bed space available), and the location of their facility (Hilo, Kona, or both)

E. Single or multi-term contracts to be awarded:

(Refer to §3-149-302, HAR)

☒ Single term (\leq 2 yrs) ☐ Multi-term ($>$ 2 yrs.)

This contract shall be for a twelve (12) month period commencing on the start date indicated on the Notice to Proceed with the option to extend for not more than two additional twelve month periods, or portions thereof, subject to the availability of funds, satisfactory prior performance, and upon prior mutual agreement in writing.

F. RFP contact person

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the successful provider or providers. Written questions should be submitted to the RFP contact person and received on or before the day and time specified in Section I, Item IV (Procurement Timetable) of this RFP.

Mr. Marc Yamamoto
 Department of Public Safety
 Planning, Programming and Budget Office
 919 Ala Moana Boulevard, Room 413
 Honolulu, Hawaii 96814
 Telephone: (808) 587-1215

III. Scope of Work

The scope of work encompasses the following tasks and responsibilities:

A. Service Activities

(Minimum and/or mandatory tasks and responsibilities)

1. The overall rehabilitation approach of the offender treatment shall be cognitive and behavioral with heavy emphasis on relapse prevention. The therapeutic approach shall be holistic, with a focus on the bio-psycho-social needs of the parolees (physical, mental, social, emotional, familial, and spiritual). Services shall be designed to help offenders change their thought process, attitudes, values and behaviors from negative and dysfunctional to positive and self-fulfilling. Treatment services shall follow the principles of effective treatment intervention, based in part on the National Institute on Drug Abuse principles of drug addiction treatment as follows:

- Assessment of offenders, to include risk of re-offending, substance abuse treatment needs, and criminogenic needs are essential
- Match level of services to level of risk
- Match treatment with appropriate levels of care that meet individual needs based on assessment of parolee characteristics, such as learning style, and responsivity
- Treatment models should be research based and include social learning and cognitive behavioral techniques
- Relapse/recidivism prevention of both substance abuse and criminal behaviors needs to be the focus of treatment
- Treatment must target criminogenic issues, such as antisocial attitudes, chemical dependency, criminal companions, physical and mental health, social relationships, vocational/financial, residence/neighborhood, and education
- Length of stay in treatment must be sufficient for change to occur, but not so long as to reduce treatment effectiveness

- Treatment providers must be responsive to the parolee population and goals of the overall program
 - Possible drug use during treatment must be monitored continuously
 - Medications are an important element of treatment for many, especially when combined with counseling and behavioral therapies
 - Aftercare is essential
2. The multiple substance abuse treatment services for parolees shall be comprehensive and include a continuum of services such as Initial Screening and Assessment Services, Intensive Outpatient, Outpatient, Therapeutic and Aftercare modalities as defined below.

Services under this section shall be provided to only those parolees referred by the Hawaii Paroling Authority.

a. Initial Screening and Assessment Services

The applicant shall conduct screening and assessment services of parolees referred for treatment **within fourteen (14) days of referral** and shall not exceed one hour per individual.

Assessment results shall be present in writing to the referring parole officer **within five (5) working days** of the assessment session. Based on the assessment results, plans shall be developed for those individuals who have been identified as having moderate to serious substance abuse problems. Treatment plans shall include problem areas to be addressed in treatment, treatment services recommended (group, individual, and family counseling), projected time in treatment, short and long range treatment goals, and shall measure a parolee's progress in treatment.

Applicant shall develop and have a mechanism for periodic review and updating of the treatment plan as the parolee progresses through treatment with **monthly** written progress reports being submitted to the referring parole officer. Progress reports shall include:

1. The first and last name of the offender
2. The date of the report
3. The time period the report covers
4. The name of the agency providing services
5. The location (facility) where the service was delivered
6. The number of attended sessions versus the total number of sessions offered during the time period covered by the report

Each progress report for each inmate shall be stamped CONFIDENTIAL in the upper right corner on the first page. Reports shall focus on the content of the individual's progress. Progress reports for group sessions will include the stated goals covered during the reporting period; the parolee's improved performance to reach to stated goal; any problems (i.e. when parolees lack the support of their family members in treatment)

encountered during the reporting period, and how these problems were addressed. Inadequate progress reports will be grounds for contract termination.

Upon acceptance to applicant's program, parole officers shall provide a copy of the Level of Service Inventory-Revised (LSI-R) to the applicant. Applicant shall ***openly communicate*** with the referring parole officer.

The applicant shall ***immediately*** notify the referring parole officer when a parolee is not accepted into the program, when parolees do not contact the program, when parolees are terminated or when parolees do not attend their initial sessions within five (5) working days of the referral.

As ruled by the Office of Information Practices, the Hawaii Paroling Authority may withhold from inspection by the parolee or his attorney, all confidential progress reports, assessment reports, and treatment recommendations provided by the applicant, unless instructed otherwise by the Department of the Attorney General.

Whenever the applicant is requested by the offender, his/her family, or his/her attorney, to provide assessment reports or treatment progress reports to the parolee, his family, or his attorney, the applicant shall inform the requesting party that such reports are the property of the Hawaii Paroling Authority, and that all requests should be directed to the contracting officer. The applicant shall notify the contracting officer, that such a request was made. The applicant shall not release such reports directly to the parolee or to any party representing the parolee. Hawaii Revised Statutes Chapter 92 Section F-22 (1) (B) prohibits the release of confidential records that were previously submitted to criminal justice agencies.

b. Intensive Outpatient Program

Non-residential outpatient alcohol and/or other drug treatment services will provide a **minimum of nine (9) hours up to a maximum of nineteen (19) hours per client per week** of face-to-face treatment. Clients will participate in accordance with an approved individualized treatment plan. Intensive outpatient services may include, but are not limited to: assessment, individual and group counseling, crisis intervention, occupational therapy, activity therapies, expressive therapies (art, drama, poetry, music, movement), referral and information, drug-screening urinalysis, medication administration, medical services, case management services and nutrition counseling; however, the listed below must be provided.

Intensive Outpatient Programs shall include, but are not limited to, the following face-to-face activities: assessment services, individual and group counseling services, crisis intervention services, and activity therapies and/or alcoholism and other drug addiction client education.

The scheduling of a **one (1) hour per client per week session of individual counseling** shall be included.

c. Outpatient Program

Provides non-residential comprehensive specialized services on a scheduled basis for individuals with substance abuse problems. Professionally directed evaluation, treatment, case management, and recovery services are provided to clients with less problematic substance abuse related behavior that would be found in a residential or day treatment program.

Outpatient Programs consist of:

- **Individual Counseling**, which provides the utilization of special skills by a clinician to assist individuals and/or their families/significant others in achieving treatment objectives through the exploration of alcohol and other drug problems and/or addiction and their ramifications, including an examination of attitudes and feelings, consideration of alternative solutions and decision making, and/or discussing didactic materials with regard to alcohol and other drug related problems.
- **Group Counseling**, which provides the utilization of special skills by a clinician to assist two or more individuals and/or their families/significant others in achieving treatment objectives through the exploration of alcohol and other drug problems and/or addiction and their ramifications, including an examination of attitudes and feelings, consideration of alternative solutions and decision making, and/or discussing didactic materials with regard to alcohol and other drug related problems.
- **Family/Couple Counseling**, which provides counseling for alcohol and/or drug treatment with a client's family member or significant other, typically delivered as a scheduled hourly event. In some instances, the client may not be present during these sessions.
- **Skills Development**, which provides activities to develop a range of skills to help maximize client community integration and independent living. Services may be provided in individual or group settings. They need not be scheduled events, but may be applied in the context of other normal activities, such as education or employment.
- **Case Management**, which provides services to assist and support clients in developing their skills to gain access to needed medical, social, educational and other services essential to meeting basic human services, linkages and training for the client served in the use of basic community resources, and monitoring of overall service delivery. Staff whose primary function is case management, generally provide this service.

An Outpatient Program regularly provides between **one (1) and eight (8) hours per client per week** of face-to-face treatment and **one (1) hour of scheduled individual counseling per client per month**. The scheduling of **one (1) hour per client per week of individual counseling** is recommended when clinically indicated.

d. Aftercare

A reduced intensity Outpatient Program, for purposes of this RFP referred to as “**Aftercare**,” provides a minimum of **one (1) per client per week of face-to-face treatment**, generally in a group setting, **prior to clinical discharge**, for a twelve week period, although there may be variations according to individual transitional plan of each parolee. Aftercare groups will be no more than 20 participants.

Aftercare is essential. APPLICANTS shall develop an aftercare component for those parolees that have been clinically discharged from the intensive outpatient and/or outpatient treatment phase of the program. A strong support system needs to be established to maintain an abstinent life style and prevent the parolees from reverting back to old patterns of dealing with stressful situations. The establishment of a group support system with professional guidance will provide a framework that will strengthen an effective social support system, health and coping skills.

Aftercare sessions will focus upon personal stress factors, vocational and family issues, and relapse prevention strategies. Aftercare services are open-ended. The groups will be offered continuously with participants starting and stopping according to their transitional treatment.

Applicants will work with the Hawaii Paroling Authority to develop a mechanism for transitioning each parolee to appropriate treatment in the community. Proposals must describe the following items:

- Frequency and duration of services
 - Types of services
 - Procedures for linking parolees with community services
 - Description of how the applicant will provide basic and treatment services to a fluctuating population with changing needs
 - Unit cost for aftercare and maintenance as well as the estimated number of units to be provided
3. Clients in any level of treatment shall meet the most current version of the American Society for Addictive Medicine Patient Placement Criteria (**ASAMPPC**) for admission, continuance, and discharge. The applicant shall document in writing in the client's chart, that ASAM criteria have been met.
 4. Each part of the continuum shall include, as appropriate, the face-to-face activities, which are defined in ADAD'S **Substance Abuse Treatment**

Guidelines found in Section 5, Attachment E-1.

5. The applicant that provides Outpatient, Intensive Outpatient, Therapeutic levels of treatment shall develop and implement an appropriate transition plan for each client in the final phase of treatment prior to discharge. The plan shall address transition and recovery issues and relapse prevention.
6. All clients appropriate for transfer to a less restrictive level of service shall be referred for transfer as established in **Sec. 334-104**, Least Restrictive Level of Service.
7. Adult treatment programs shall administer the **Addiction Severity Index (ASI)** as part of the initial assessment and upon discharge to all clients admitted for treatment. Results of the **ASI** must be included in the Client Data System Admission form.
8. The applicant shall adopt and implement a policy on alcohol and other drug use (including psychotropic, mood stabilizing medication and methadone) while clients are in treatment. **Client cannot be excluded solely on the basis of use of medically prescribed medication.**
9. The applicant shall routinely make available tuberculosis (TB) services to all clients either directly or through arrangements with public or nonprofit agencies. If the program is unable to accept a person requesting services, the program shall refer the person to a provider of TB services. TB services shall include, but not be limited to, counseling; testing to determine whether the individual has contracted the disease and to determine the appropriate form of treatment; and treatment.

B. Management Requirements (Minimum and/or mandatory requirements)

1. Personnel

- a. The applicant shall ensure that staff receives appropriate supervision including clinical supervision, and administrative direction.

Individuals performing the following functions shall be Hawaii State certified substance abuse counselors (CSACs) pursuant to **321-193 (10), Hawaii Revised Statutes (HRS)**, or hold an advanced degree in behavioral health sciences unless otherwise approved ADAD:

- Clinical supervision

CSACs and individuals who hold an advanced degree in behavioral health sciences preferably, shall perform the following functions; however, non CSACs or non-Masters level providers may be utilized as long as they are directly supervised by a CSAC or Master's level counselor, and are working toward certification:

- Clinical evaluation

- Treatment planning
- Individual, group, and family counseling

Direct supervision means a minimum of one hour of supervision for every seven hours of performance. This involves teaching the supervisee about each core function of a substance abuse counselor, demonstrating how each core function is accomplished, the supervisee sitting in while the supervisor performs the function, the supervisee performing the function with the supervisor present, and finally, the supervisee performing the function independently, but with review and feedback from the supervisor. In addition, supervisees shall be required to attend ADAD-approved CSAC preparatory training when available.

- b. The applicant shall assure at least 12 hours of relevant clinical training per year for each staff person providing clinical services per **11-175-14(e)(l)-(4), HAR**, which shall include:
 1. Staff education on HIV and AIDS.
 2. Staff education on the risks of TB for those abusing substances.
- c. The applicant shall document verifiable experience of staff in any specialized therapeutic activities, such as psychotherapy or family therapy, and/or experience in working with relevant specialized populations such as women, minorities, or adolescents.
- d. Staffing shall reflect a multi-disciplinary team effort to the greatest extent possible.
- e. The applicant shall have on the premises, at least one person currently certified for First Aid and Cardiopulmonary Resuscitation (CPR).
- f. The applicant shall maintain documentation for each employee of an initial and annual tuberculosis (TB) skin test or chest X-ray.
- g. The applicant shall conduct, at a minimum, a criminal history record check for any person who is employed or volunteers in an administrative or program position which necessitates close proximity to clients. For administrative and program staff working in a position which necessitates close proximity to children or adolescents, the criminal history check shall also include fingerprinting. A copy of the criminal history record check shall be placed in the employee's or volunteer's personnel file and shall be available for review.

2. Administrative

- a. The applicant shall operate their program in accordance with the rules, regulations, and policies of the Department of Public Safety.

- b. The applicant is required to meet the qualifying requirements specified in Chapter 103F, Hawaii Revised Statutes.
- c. The applicant shall comply with all codes and ordinances as required by the State of Hawaii and the City and County of Honolulu.
- d. The applicant shall have the ability to supervise, train, and provide administrative direction relative to the delivery of services.
- e. The applicant shall maintain and show proof of a liability insurance policy of at least one million dollars. The State of Hawaii shall be named as an additional insured and shall be notified at least thirty (30) days prior to cancellation of the policy.

3. Quality assurance and evaluation specifications

- a. The applicant shall have a quality assurance plan which identifies:
 - The mission of the organization
 - What services will be provided
 - How services are delivered
 - Who is qualified to deliver them
 - Who is eligible to receive the services
 - What standards are used to assess or evaluate the quality and utilization of services
- b. The quality assurance plan shall:
 - Serve as procedural guidelines for staff, and will
 - Confer designated individuals and committees with the authority to fulfill their responsibilities in the areas of quality assurance
- c. The quality assurance system shall:
 - Identify strengths and deficiencies
 - Indicate corrective actions to be taken and validate corrections
 - Recognize and implement innovative, efficient, or effective methods for the purpose of overall program improvement
- d. Program evaluation shall reflect the documentation of the achievement of the stated goals of the program using tools and measures consistent with the professional standards of the disciplines involved in the delivery of services.
- e. Applicant will allow the appropriate agency's (i.e. Hawaii Paroling Authority, Department of Public Safety, Attorney General, and Judiciary) staff to use the Correctional Program Checklist (CPC)

4. Output and performance/outcome measurements

- a. Performance measures shall be summarized and analyzed and based on the data specified below, on a yearly basis. The applicant shall set a threshold percentage of achievement for each of the following:
 - (1) Number of clients completing treatment
 - (2) Employment status at follow-up
 - (3) Living arrangements at follow-up
 - (4) Number of clients receiving substance abuse treatment since discharge
 - (5) Number of clients currently in substance abuse treatment
 - (6) In the past thirty (30) days, number of clients experiencing significant periods of psychological distress
 - (7) In the past thirty (30) days, number of days of work/school missed because of drinking/drug use
 - (8) Number of arrests since discharge
 - (9) Number of emergency room visits since discharge
 - (10) Number of times client has been hospitalized for medical problems since discharge
 - (11) Frequency of use thirty (30) days prior to follow-up
 - (12) Usual route of administration
- b. The applicant shall submit a **Client Data System Follow-Up Report** form for all clients admitted to the program six (6) months after termination, regardless of the reason for discharge. Sufficient staff time shall be allocated for follow-up to ensure at least three (3) attempts to contact clients using at least two (2) different methods (e.g., mail out, telephone, face-to-face) are made, and to assure that unless the client has died or left no forwarding address they will be contacted.

5. Experience

- a. The applicant shall describe the experience of its staff and the ability to hire and retain qualified substance abuse counselors. Applicant to report the success it has had in recruiting and retaining quality staff.
- b. The applicant shall provide a listing of verifiable experience with projects or contracts that clearly shows one (1) year experience in the provision of substance abuse treatment services for substance abuse clients plus a minimum of one (1) additional year of successful experience in the provision of substance abuse treatment for parolees.
- c. For those applicants that do not meet the one (1) year experience requirement, an exception can be made. The request for an exception shall include at a minimum, a discussion of the following:

- The reasons why the exception is being requested (i.e. the reasons why the organization does not meet the two (2) year experience requirement, the service for which funds are being requested is a new service, etc.)
 - The qualification and experience of the organization in providing services for other related state programs in the past
 - A description of the activities performed to date, and accompanying statistical data
- d. Applicant to provide a list of experience as an agency providing services to offenders and their families.
- What services will be provided
 - How services are delivered
 - Who is qualified to deliver them
 - Who is eligible to receive the services
 - What standards are used to assess or evaluate the quality and utilization of services

6. Coordination of services

- a. The applicant intending to provide only part of the continuum shall have and document appropriate linkages to other services on the continuum.
- b. The applicant shall maintain a current base of information and referral sources on alcohol, tobacco and other drug, substance abuse and related problem behaviors and treatment resources. Such information shall be made easily accessible to staff and program recipients.

7. Reporting requirements for program and fiscal data

- a. In order to determine the adequacy of the applicant's accounting system as described under the administrative rules, the following documents are requested as part of the POS Proposal Application (may be attached):

Applicant's current financial statement and any financial audit completed in the last three (3) years
- b. Applicant shall submit to the Contracting Person, a monthly invoice (an original and two copies) for payment of delivered service no later than thirty (30) days after the last treatment intervention for the month.

Each monthly invoice shall include:

- (1) The date and time of each session, whether completed or interrupted, and whether for screening, group, or individual treatment
- (2) A roster for each session of inmates who attended each session, signed by each inmate in his handwriting and by the treating therapists
- (3) A one-page summary roster attendance sheet for the entire reporting period
- (4) For absent parolees, whether they were excused or unexcused, and the reason for the absence if known

The applicant's invoices shall not include costs incurred by subcontracted service providers, unless such costs are paid by the applicant under the terms and conditions provided herein.

The invoice shall be mailed to the following address:

Mr. Michael D. Knott (Contracting Person)
Hawaii Paroling Authority
1177 Alakea Street, Ground Floor
Honolulu, HI 96813

Any discrepancies in regards to the invoice, will be handled in 45 days or less.

8. Pricing structure or pricing methodology to be used

Pricing shall be based on unit of service pricing structure. The pricing shall include all taxes, shall be all-inclusive cost to the State, and no other charges will be honored.

9. Units of service and unit rate

The unit of service and unit rate shall be based on price per bed per day based on an estimated number of beds and price per bed day. The unit of service and unit rate shall be based on price per treatment.

The number of beds may be increased provided that funds are available from under utilized vacant bed days. The ability to provide services will be dependent upon the ability to charge the specific dollar amount per day from the program budget.

a. Initial Screening and Assessment Services

- Cost per Intake/Assessment

b. Intensive Outpatient Substance Abuse Treatment

- Cost per day which shall include a minimum of three (3) hours per day of face-to-face individual, group and/or family sessions

c. Outpatient Substance Abuse Treatment

- Cost per sixty (60) minute individual activity per client
- Cost per sixty (60) minute group activity per client
- Cost per sixty (60) minute family counseling activity

d. Aftercare Services

- Cost per sixty (60) minute activity per client

IV. Facilities

The applicant shall provide a description of the facility(s) and site that will be used to meet the treatment needs of the parolees.

Section 3

Proposal Application Instructions

Section 3

Proposal Application Instructions

General instructions for completing applications:

- *Proposal Applications shall be submitted to the state purchasing agency using the prescribed format outlined in this section.*
- *The numerical outline for the application, the titles/subtitles, and the applicant organization and RFP identification information on the top right hand corner of each page should be retained. The instructions for each section however may be omitted.*
- *Page numbering of the Proposal Application should be consecutive, beginning with page one and continuing through for each section. **See sample table of Contents***
- *Proposals may be submitted in a three ring binder (Optional).*
- *Tabbing of sections (Recommended).*
- *Applicants must also include a Table of Contents with the Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *A written response is required for **each** item unless indicated otherwise. Failure to answer any of the items will impact upon an applicant's score.*
- *Applicants are **strongly** encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*
- *This form (SPO-H-200A) is available on the SPO website (for the website address see the Proposal Application Checklist in Section 5, Attachments). However, the form will not include items specific to each RFP. If using the website form, the applicant must include all items listed in this section.*

The Proposal Application comprises the following sections:

- *Proposal Application Identification Form*
- *Table of Contents*
- *Program Overview*
- *Experience and Capability*
- *Project Organization and Staffing*
- *Service Delivery*
- *Financial*
- *Other*

I. Program Overview

Applicant shall give a brief overview to orient evaluators as to the program/services being offered.

II. Experience and Capability

A. Necessary Skills

The applicant shall demonstrate the capability to coordinate services with other agencies and resources in the community.

B. Experience

1. The applicant shall provide a description of projects/contracts pertinent to the proposed services.
2. The applicant shall demonstrate that it has the necessary skills, abilities, knowledge of, and experience relating to providing substance abuse services.
3. Applicant to provide a list of contracts performed for the Department of Public Safety.
4. Applicant to provide a list of prior contracts with the public sector in providing services in general for male and female offenders specifically.

Discuss any problems or difficulties encountered in prior contracts. Applicant shall provide a point of contact and telephone number for each contract listed. the Department reserves the rights to contact any of the listed points of contact to inquire about the applicant's past service performance and personnel.

C. Quality Assurance and Evaluation

1. The quality assurance program includes the specifications to monitor, evaluate and improve the results of the program. Applicant will present a plan for collecting, analyzing, and reporting the information required to document that the applicant's goals and objectives have been reached.
2. The quality assurance process shall serve as a source of information for internal and external parties interested in knowing how the program monitors and improves the quality of its services:
 - Findings shall be summarized and reviewed by the quality assurance committee
 - Information shall be conveyed at least semi-annually to: the program administrator (e.g. clinical supervisor, program director), the organization's executive officer (e.g. executive director) and governing body (e.g. board of directors)

D. Coordination of Services

The applicant shall collaborate with other appropriate services, including, but not limited to health, mental health, social, correctional and criminal justice, educational, vocational rehabilitation, and employment services. The applicant shall demonstrate the capability to coordinate services with other agencies and resources in the community.

- Describe coordination efforts with other agencies and resources. Efforts towards reduction of fragmentation and/or duplication of services should be described.
- Describe and document arrangements with other agencies to provide levels of care as needed for clients.

E. Facilities

The applicant shall provide a description of its facilities and demonstrate its adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. Also, describe how the facilities meet ADA requirements, as applicable, and special equipment that may be required for the services.

III. Project Organization and Staffing**A. Staffing****1. Proposed Staffing**

The applicant shall describe the proposed staffing pattern, client/staff ratio and proposed caseload capacity appropriate for the viability of the services. (Refer to the personnel requirements in the Service Specifications, as applicable.)

2. Staff Qualifications

Applicant shall provide the minimum qualifications (including experience) for staff assigned to the program (Refer to the qualifications in the Service Specifications, as applicable).

- (a) List names and submits copies of resumes of all executive/administrative staff already in the employ of the applicant and/or of those likely to be hired.
- (b) List names and submit resumes of all program staff already in the employ of the applicant and/or of those likely to be hired.

The applicant shall describe its ability to supervise, train and provide

administrative direction relative to the delivery of the proposed services.

Applicant shall also describe all pre-service and in-service training provided to applicant's staff, including number of training hours, and the method(s) used to evaluate the performance of applicant's staff.

B. Project Organization

1. Supervision and Training

The applicant shall reflect the position of each staff and line of responsibility/supervision. (Include position title, name and full time equivalency)

2. Organization Chart

Both the "Organization-wide" and "Program" organization charts shall be attached to the Proposal Application.

IV. Service Delivery

The applicant shall include a detailed discussion of the applicant's approach to applicable service activities and management requirements from Section 2, Item III. - Scope of Work, including (if indicated) a work plan of all service activities and tasks to be completed, related work assignments/responsibilities and timelines/schedules of treatment services. Applicant shall include a comprehensive description and flow of the services and activities proposed to provide the substance abuse treatment services to male and female parolees on Oahu. This section shall include, at minimum, the following:

- Program philosophy
- Program components
- Admission criteria
- Description of case management services, including record-keeping and and report writing methods
- Description of how the basic services will be provided
 - (1) Initial Screening and Assessment
 - (2) Residential substance abuse treatment
 - (3) Intensive Outpatient substance abuse treatment
 - (4) Outpatient substance abuse treatment
 - (5) Aftercare
- Frequency and duration of the treatment intervention for each
- Maximum number of inmates that will be allowed in each component of treatment
- Discharge criteria for both successful completion and unsuccessful completion
- Procedures for linking parolees with community services

APPLICANT shall also provide a detailed description of its outcome evaluation and measures of effectiveness.

V. Financial

A. Pricing Structure

Applicants shall submit a cost proposal utilizing the pricing structure designated by the state-purchasing agency. The cost proposal shall be attached to the POS Proposal Application. Pricing shall be based on a fixed unit of service pricing structure. Proposals shall include the unit of cost for each component, as well as a reasonable estimate of the number of units to be provided. The pricing shall include all taxes, shall be the all inclusive cost to the State, and no other charges will be honored.

In order to determine the adequacy of the applicant's accounting system as described under the administrative rules, the following documents are requested as part of the POS Proposal Application (may be attached):

- Applicant's current financial statement and any financial audit completed in the last three (3) years

Applicant shall submit to the Contracting Person, a monthly invoice (an original and two copies) for payment of delivered service no later than thirty (30) days after the last treatment intervention for the month.

B. Other Financial Related Materials

1. Accounting System

All budget forms, instructions and samples are located on the SPO website (see the POS Proposal Checklist in Section 5 for website address). The following budget forms shall be submitted with the POS Proposal Application:

SPO-H-205, Budget
 SPO-H-205A, Organization-Wide Budget by Source of Funds
 SPO-H-206A, Budget Justification – Personnel – Salaries and Wages
 SPO-H-206B, Budget Justification – Personnel – Payroll Taxes, Assessments, and Fringe Benefits
 SPO-H-206F, Budget Justification – Contractual Services – Subcontractors
 SPO-H-206I, Budget Justification – Equipment Purchases

VI. Other

A. Litigation

The applicant shall disclose any pending litigation to which they are a party, including the disclosure of any outstanding judgment. If applicable, please explain.

Section 4

Proposal Evaluation

Section 4

Proposal Evaluation

I. Introduction

The evaluation of proposals received in response to the RFP will be conducted comprehensively, fairly and impartially. Structural, quantitative scoring techniques will be utilized to maximize the objectivity of the evaluation.

II. Evaluation Process

The procurement officer or an evaluation committee of designated reviewers selected by the head of the state purchasing agency or procurement officer shall review and evaluate proposals. When an evaluation committee is utilized, the committee will be comprised of individuals with experience in, knowledge of, and program responsibility for program service and financing.

The evaluation will be conducted in three phases as follows:

- Phase 1 - Evaluation of Proposal Requirements
- Phase 2 - Evaluation of Proposal Application
- Phase 3 - Recommendation for Award

Evaluation Categories and Thresholds

<u>Evaluation Categories</u>		<u>Possible Points</u>
<i>Administrative Requirements</i>		
<i>Proposal Application</i>		100 Points
Program Overview	0 points	
Background and Summary	10 points	
Experience & Capability	20 points	
Project Organization and Staffing	10 points	
Service Delivery	50 Points	
Financial	10 Points	
TOTAL POSSIBLE POINTS		100 Points

III. Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

(1) Administrative Requirements

- a. Application Checklist
- b. Registration (if not pre-registered with the State Procurement Office)

c. Certificate of Liability Insurance

(2) POS Proposal Application Requirements

Proposal Application Identification Form (Form SPO-H-200)
 Table of Contents
 Program Overview
 Experience and Capability
 Project Organization and Staffing
 Service Delivery
 Financial (All required forms and documents)
 Program Specific Requirements (as applicable)

**B. Phase 2 - Evaluation of Proposal Application
(100 Points)**

Program Overview: No points are assigned to Program Overview. The intent is to give the applicant an opportunity orient evaluators as to the service(s) being offered.

1. Background and Summary (10 Points)

The applicant has demonstrated a thorough understanding of the purpose and scope of the service activity.

The goals and objectives are in alignment with the proposed service activity.

The applicant has described how the proposed service is designed to meet the pertinent issues and problems related to the service activity.

2. Experience and Capability (20 Points)

The State will evaluate the applicant's experience and capability relevant to the proposal contract, which shall include:

A. Necessary Skills**4**

- Demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services.

B. Experience**4**

- Demonstrated experience relating to the delivery of the proposed services.

*Superior service:**+4 points maximum*

(Superior service to be defined as vendor providing exceptional services per the contract or services beyond the minimum service requirements of the contract.)

*Service not yet established**+0 points*

(For providers not yet established working with the correctional population)

Substandard service

-4 points maximum

(Substandard service defined as notices issued to the provider for corrective action which have not been adequately addressed.)

C. Quality Assurance and Evaluation	4
<ul style="list-style-type: none"> Sufficiency of quality assurance and evaluation plans for the proposed services, including methodology. 	
D. Coordination of Services	4
<ul style="list-style-type: none"> Demonstrated capability to coordinate services with other agencies and resources in the community. 	
E. Facilities	4
<ul style="list-style-type: none"> Adequacy of facilities relative to the proposed services. 	

3. Project Organization and Staffing (10 Points)

The State will evaluate the applicant's overall staffing approach to the service that shall include:

A. Staffing	6
<ul style="list-style-type: none"> <u>Proposed Staffing</u>: That the proposed staffing pattern, client/staff ratio, and proposed caseload capacity is reasonable to insure viability of the services. 	3
<ul style="list-style-type: none"> <u>Staff Qualifications</u>: Minimum qualifications (including experience) for staff assigned to the program. 	3
B. Project Organization	4
<ul style="list-style-type: none"> Supervision and Training: Demonstrated ability to supervise, train and provide administrative direction to staff relative to the delivery of the proposed services. 	2
<ul style="list-style-type: none"> Organization Chart: Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks. 	2

4. Service Delivery (50 Points)

Evaluation criteria for this section will assess the applicant’s approach to the service activities and management requirements outlined in the POS Proposal Application.

The evaluation criteria may also include an assessment of the logic of the work plan for the major service activities and tasks to be completed, including clarity in work assignments and responsibilities, and the realism of the timelines and schedules, as applicable.

• Program philosophy	<u>5 points</u>
• Program components	<u>15 points</u>
• Case management services	<u>10 points</u>
• Description of basic services	<u>10 points</u>
• Description of the range of services	<u>10 points</u>
	<hr/>

5. Financial (10 Points)

- Applicants proposal budget is reasonable, given program resources and operational capacity.
- Adequacy of accounting system.

C. Phase 3 - Recommendation for Award

Each notice of award shall contain a statement of findings and decision for the award or non-award of the contract to each applicant.

Section 5

Attachments

- A. Proposal Application Checklist
- B. Sample Table of Contents
- C. Questions and Answers

Proposal Application Checklist

Applicant: _____

RFP No.: _____

The applicant's proposal must contain the following components in the order shown below. This checklist must be signed, dated and returned to the state purchasing agency as part of the Proposal Application. *SPO-H forms are located on the web at <http://www.spo.hawaii.gov> Click *Procurement of Health and Human Services* and *For Private Providers*.*

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
General:				
Proposal Application Identification Form (SPO-H-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	X	
Registration Form (SPO-H-100A)	Section 1, RFP	SPO Website*	(Required if not Registered)	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	Dept. of Taxation Website (Link on SPO website)*	X	
Cost Proposal (Budget)				
SPO-H-205	Section 3, RFP	SPO Website*	X	
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions is applicable, Section 5	X	
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions, Section 5		
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*		
SPO-H-206D	Section 3, RFP	SPO Website*		
SPO-H-206E	Section 3, RFP	SPO Website*		
SPO-H-206F	Section 3, RFP	SPO Website*	X	
SPO-H-206G	Section 3, RFP	SPO Website*		
SPO-H-206H	Section 3, RFP	SPO Website*		
SPO-H-206I	Section 3, RFP	SPO Website*	X	
SPO-H-206J	Section 3, RFP	SPO Website*		
Certifications:				
Federal Certifications		Section 5, RFP		
Debarment & Suspension		Section 5, RFP		
Drug Free Workplace		Section 5, RFP		
Lobbying		Section 5, RFP		
Program Fraud Civil Remedies Act		Section 5, RFP		
Program Specific Requirements:				
Special Treatment Facility License			X	
Substance Abuse Counselor Certificate			X	
Certificate of Liability Insurance			X	

Authorized Signature

Date

Proposal Application Table of Contents

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A.	Necessary Skills	2
B.	Experience	4
C.	Quality Assurance and Evaluation	5
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E.	Facilities.....	6
III.	Project Organization and Staffing	7
A.	Staffing	7
1.	Proposed Staffing	7
2.	Staff Qualifications	9
B.	Project Organization.....	10
1.	Supervision and Training	10
2.	Organization Chart (Program & Organization-wide) (See Attachments for Organization Charts)	
IV.	Service Delivery	12
V.	Financial.....	20
	See Attachments for Cost Proposal	
VI.	Litigation.....	20
VII.	Attachments	
A.	Cost Proposal SPO-H-205 Proposal Budget SPO-H-206A Budget Justification - Personnel: Salaries & Wages SPO-H-206B Budget Justification - Personnel: Payroll Taxes and Assessments, and Fringe Benefits SPO-H-206C Budget Justification - Travel: Interisland SPO-H-206E Budget Justification - Contractual Services – Administrative	
B.	Other Financial Related Materials Financial Audit for fiscal year ended June 30, 1994	
C.	Organization Chart Program Organization-wide	
D.	Performance and Output Measurement Tables Table A Table B Table C	
E.	Program Specific Requirement	

QUESTIONS AND ANSWERS

Question #1: Is the provider expected to utilize insurance benefits when available to maximize treatment costs?

Response #1: No, there is no provision in the Request for Proposal that requires the Provider to utilize insurance benefits before billing the Hawaii Paroling Authority.

Question #2: In the event the parolee has no insurance, will Public Safety cover cost for prescribed medications and physician visits?

Response #2: HPA will not pay for the costs of prescribed medications and physician visits.

Question #3: IOP is defined on page 2-9 as being a “minimum of nine (9) hours up to a maximum of nineteen (19) hours per client per week...” Does this mean that clients who fall below 9 hours per week due to excused or unexcused absences fail to be reimbursed at the IOP rate since they showed up for only 6 hours in a particular week?

Response #3: This is a contractual issue. Please address this issue in your proposal and provide us with what the cost would be should this situation arise.

Question #4: On page 2-3, the RFP states that all clients “...shall meet DSM-IV criteria for substance abuse dependence.” Does this mean that parolees with a sole diagnosis of “abuse” for one of the drug classifications under DSM-IV are excluded from using services under this RFP?

Response #4. Page 2-2, Section 2.I.C, Description of the target population to be served.

The target population consists of male and female parolees who have a problem with substance abuse. All referrals must come from the Hawaii Paroling Authority. All clients shall have been assessed by the Hawaii Paroling Authority as being at medium-to-high risk for recidivism, due to the presence of substance dependence, and shall meet the DSM-IV criteria for substance abuse, and/or substance dependence. All clients in any level of treatment shall meet the most current version of the American Society for Addiction Medicine Patient Placement Criteria, Second Edition Revised (ASAM PPC-2R) for admission, continuance, and discharge.

Question #5: On page 2-3 the RFP states that funding is estimated at \$87,000.00 for the period...” Does this mean that clients who are in treatment when this funding limit is reached will have no further funds available to cover their remaining treatment?

Response #5: We want to contract for a three year period. Funding is dependent the funds that the Hawaii Paroling Authority receives each fiscal year. This can vary from year to year.

Question #6: Does PSD have any projected estimates with respect to utilization by geographic area: East Hawaii, North Hawaii, and West Hawaii?

Response #6: We have the following number of parolees for the following areas:
West Hawaii—50; North Hilo (Kamuela to Hilo)—60; South Hilo (Kau to Hilo)—60

Question #7: Are costs for UA screenings reimbursed by PSD under this RFP?

Response #7: No, the PSD will not reimburse for the costs of urine screenings conducted by the Vendor. The Hawaii Paroling Authority will use their own urine testing kits to drug test parolees who are participating in treatment.